



IN THE UNITED STATES
PATENT AND TRADEMARK OFFICE

COPY OF PAPERS
ORIGINALLY FILED

APPLICANT(S): Nallan C. Suresh
APPLICATION NO.: 10/076,961
FILING DATE: February 15, 2002
TITLE: Sequencing Models of Healthcare Related States
CONFIRMATION NO.: 2025
EXAMINER: Not yet known
GROUP ART UNIT: 2171
ATTY. DKT. NO.: 13553-06704

RECEIVED
JUN 03 2002
Technology Center 2100

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner For Patents, Office of Initial Patent Examination, Customer Service Center, Washington, D.C. 20231, on the date shown below:

Dated: 16 May 2002

By: 
Daniel R. Brownstone, Reg. No.: 46,581

COMMISSIONER FOR PATENTS
OFFICE OF INITIAL PATENT EXAMINATION
CUSTOMER SERVICE CENTER
WASHINGTON, DC. 20231

REQUEST FOR CORRECTED FILING RECEIPT

SIR:

Enclosed is a copy of the Official Filing Receipt. It contains the following error:

The Applicants' residence addresses were not given. Attached is an Application Data Sheet with the information required along with a copy of the Original Filing Receipt marked in red for your convenience.

Please issue a corrected Filing Receipt rectifying this error.

Respectfully submitted,
NALLAN C. SURESH, JEAN DE TRAVERSAY,
HYMA GOLLAMUDI, KRASIMIR G.
IANAKIEV, ANU K. PATRIA, MICHAEL K.
TYLER

Dated: 16 May 2002

By: D. R. Brownstone

Daniel R. Brownstone, Reg. No.: 46,581
Fenwick & West LLP
Two Palo Alto Square
Palo Alto, CA 94306
Tel.: (415) 875-2358
Fax.: (415) 281-1350

13553/06704/SF/5073404.1



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Page 1 of 2

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COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTY.DOCKET NO | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|---------------|----------------|----------|------------|------------|
| 10/076,961 | 02/15/2002 | 2171 | 0.00 | 13553-06704 | 3 | 19 | 12 |

00758
FENWICK & WEST LLP
TWO PALO ALTO SQUARE
PALO ALTO, CA 94306

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MAR 20 2002

FENWICK & WEST LLP

CONFIRMATION NO. 2025

FILING RECEIPT



OC00000007666468

Date Mailed: 03/19/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Nallan C. Suresh, Residence Not Provided; IRVINE, CA.
Jean de Traversay, Residence Not Provided; SOLANA BEACH, CA.
Hyma Gollamudi, Residence Not Provided; SAN DIEGO, CA.
Krassimir G. Ianakiev, Residence Not Provided; SAN DIEGO, CA.
Anu K. Pathria, Residence Not Provided; LA JOLLA, CA.
Michael K. Tyler, Residence Not Provided; SAN DIEGO, CA.

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted 03/18/2002

Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

Early Publication Request: No

Title

Sequencing models of healthcare related states

Preliminary Class

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related application(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

2171

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PTO/SB/21 (modified)

Approved for us through xx/xx/xx, OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

10001/PTO
Rev. 10/95

U.S. Department of Commerce
Patent and Trademark Office

TRANSMITTAL FORM

(to be used for all correspondence during pendency of filed application)

Total Number of Pages in This Submission

7

| | |
|-----------------------|-------------------------|
| Application Number | 10/076,961 |
| Filing Date | February 15, 2002 |
| First Named Inventor | Nallan C. Suresh et al. |
| Confirmation No. | 2025 |
| Group Art Unit Number | 2171 |
| Examiner Name | Not yet known |

Attorney Docket Number 13553-06704

ENCLOSURES (check all that apply)

| | |
|---|---|
| <input type="checkbox"/> Fee Transmittal Form (in duplicate) <input type="checkbox"/> Check Enclosed | <input type="checkbox"/> Issue Fee Transmittal |
| <input checked="" type="checkbox"/> Return Receipt Postcard | <input type="checkbox"/> Letter to Chief Draftsperson |
| <input type="checkbox"/> Response to Notice to File Missing Parts | <input type="checkbox"/> Formal Drawing(s): [] Sheet(s) of Figure(s) [] |
| <input type="checkbox"/> Copy of Notice to File Missing Parts | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences |
| <input type="checkbox"/> Declaration | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> Power of Attorney | <input type="checkbox"/> Certified Copy of Priority Document(s) |
| <input type="checkbox"/> Information Disclosure Statement & PTO-1449 <input type="checkbox"/> Copies of IDS Cited References | <input type="checkbox"/> After Allowance Communication to Group |
| <input checked="" type="checkbox"/> Request for Corrected Filing Receipt | <input type="checkbox"/> |
| <input checked="" type="checkbox"/> Application Data Sheet | <input type="checkbox"/> |
| <input type="checkbox"/> Amendment/Response: [] Page(s) <input type="checkbox"/> After Final | <input type="checkbox"/> |
| <input checked="" type="checkbox"/> Copy of Official Filing Receipt marked in red | <input type="checkbox"/> |
| <input type="checkbox"/> Revocation and Power of Attorney | <input type="checkbox"/> |

REMARKS:

SIGNATURE OF ATTORNEY OR AGENT

Signature:

Attorney/Reg. No.:

Daniel R. Brownstone, Registration No. 46,581

Dated:

16 May 2002

CERTIFICATE OF MAILING

I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Office of Initial Patent Exam, Customer Service Center, Commissioner for Patents, Washington, D.C. 20231 on the date shown below

Signature:

Typed or Printed Name:

Daniel R. Brownstone

Dated:

16 May 2002

13553-06704/SF/5073409.1

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JUL 25 2002

PTO/SB/17 (10-01)(modified)

OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

0002/PTO(modified)
Rev. 10/2001

U.S. Department of Commerce
Patent and Trademark Office

FEE TRANSMITTAL

TOTAL AMOUNT OF PAYMENT

Subtotal (1) + Subtotal (2) + Subtotal (3) =

(\\$) 1,992

PATENT & TRADEMARK OFFICE
U.S. DEPARTMENT OF COMMERCE

Complete if Known

Application Number

10/076,961

Filing Date

February 15, 2002

First Named Inventor

Nallan C. Suresh

Group Art Unit

2171

Examiner Name

Unknown

Attorney Docket Number

13553-06704

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ORIGINALLY FILED

METHOD OF PAYMENT

FEE CALCULATION (continued)

1. The Commissioner is hereby authorized to:

- Charge the indicated fees to the below mentioned deposit account.
- Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account.[†]
- Applicant claims small entity status
See 37 CFR 1.27

Deposit Account Number: 19-2555

Deposit Account Name: FENWICK & WEST LLP

A Duplicate Copy of this authorization is attached

2. Payment Enclosed:

Check Credit Card Other

FEE CALCULATION (fees effective 10/01/2001)

1. FILING FEE

| Large Entity Fee Code/Fee | Small Entity Fee Code/Fee | Fee Description | Fee Due |
|------------------------------|------------------------------|--------------------|------------------|
| 101/\$740 | 201/\$370 | Utility Filing | 740 |
| 106/\$330 | 206/\$165 | Design Filing | |
| 108/\$740 | 208/\$370 | Reissue | |
| 114/\$160 | 214/\$80 | Provisional Filing | |
| SUBTOTAL (1) | | | (\\$) 740 |

2. CLAIMS

| Large Entity Fee Code/Fee | Small Entity Fee Code/Fee | Fee Description |
|------------------------------|------------------------------|---|
| 103/\$18 | 203/\$9 | Claims in excess of 20 |
| 102/\$84 | 202/\$42 | Independent claims in excess of 3 |
| 104/\$280 | 204/\$140 | Multiple dependent claim |
| 109/\$84 | 209/\$42 | Reissue independent claims over original patent |
| 110/\$18 | 210/\$9 | Reissue claims in excess of 20 and over original patent |

3. ADDITIONAL FEES

| Large Entity Fee Code/Fee | Small Entity Fee Code/Fee | Fee Description | Fee Due |
|------------------------------|------------------------------|--|------------------|
| 105/\$130 | 205/\$65 | Surcharge - late filing fee or oath | 130 |
| 127/\$50 | 227/\$25 | Surcharge-late provisional filing fee or cover sheet | |
| 147/\$2,520 | 147/\$2,520 | For filing a request for reexamination | |
| 115/\$110 | 215/\$55 | Extension for response within first month [†] | |
| 116/\$400 | 216/\$200 | Extension for response within second month [†] | 400 |
| 117/\$920 | 217/\$480 | Extension for response within third month [†] | |
| 118/\$1,440 | 218/\$720 | Extension for response within fourth month [†] | |
| 128/\$1,960 | 228/\$980 | Extension for response within fifth month [†] | |
| 119/\$320 | 219/\$160 | Notice of Appeal | |
| 141/\$1,280 | 241/\$640 | Petition to revive unintentionally abandoned application | |
| 142/\$1,280 | 242/\$640 | Utility Issue Fee (Or Reissue) | |
| 143/\$460 | 243/\$230 | Design Issue Fee | |
| 122/\$130 | 122/\$130 | Petitions to the Commissioner | |
| 126/\$180 | 126/\$180 | Submission of Information Disclosure Statement | |
| 179/\$740 | 279/\$370 | Request for Continued Examination (RCE) | |
| 581/\$40 | 581/\$40 | Recording each patent assignment per property (times number of properties) | 40 |
| 146/\$740 | 246/\$370 | Filing a submission after final rejection (37 CFR 1.129(a)) | |
| 149/\$740 | 249/\$370 | For each additional invention to be examined (37 CFR 1.129(b)) | |
| Other fee (specify): | | | |
| Other fee (specify): | | | |
| SUBTOTAL (3) | | | (\\$) 570 |

| (Col. 1) | (Col. 2) | (Col. 3) | | | |
|--|------------------------|---------------------------------|---------|-----|---------|
| For | No. of Existing Claims | Highest No. Previously Paid For | Extra** | Fee | Fee Due |
| TOTAL | 33 | minus* | 20 or | = | 13 |
| INDEP | 5 | minus* | 3 or | = | 2 |
| [X] First presentation of multiple dependent claim | | | x | x | |
| | | | x | 18 | = 234 |
| | | | x | 84 | = 168 |
| | | | | 280 | = 280 |

* Subtract the greater number of Col. 2

** If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3

SUBTOTAL (2) **(\\$) 462**

SUBMITTED BY

Typed or Printed Name

Robert R. Sachs

Complete (if applicable)

Reg. Number

42,120

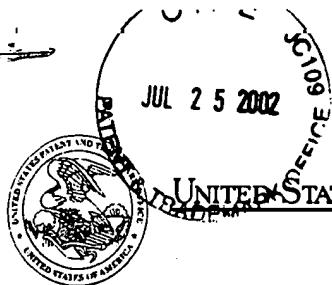
Signature

Robert R. Sachs

Date

July 19, 2002

[†] Request for Extension of Time per 37 CFR 1.136 (a)(3) made hereby



UNITED STATES PATENT AND TRADEMARK OFFICE

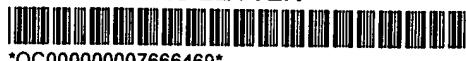
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UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 10/076,961 | 02/15/2002 | Nallan C. Suresh | 13553-06704 |

00758
FENWICK & WEST LLP
TWO PALO ALTO SQUARE
PALO ALTO, CA 94306

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CONFIRMATION NO. 2025
FORMALITIES LETTER



OC000000007666469

Date Mailed: 03/19/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

07/29/2002 AOSMANI 00000039 10076961

| | | |
|-----------|--------|----|
| 01 FC:101 | 740.00 | OP |
| 02 FC:102 | 168.00 | OP |
| 03 FC:103 | 234.00 | OP |
| 04 FC:104 | 280.00 | OP |
| 05 FC:105 | 130.00 | OP |

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$756.
■ **\$756 for 9 independent claims over 3 .**
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1626.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

A copy of this notice MUST be returned with the reply.

H Truong

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

2025 RELEASE UNDER E.O. 14176